



6-28-01

06/27/01

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No. 87400001COP E

First Inventor Keith A. CRUTCHER et al.

Title METHODS FOR THE TREATMENT OF APOLIPOPROTEIN E  
RELATED DISEASES

Express Mail Label No. EL623521774 US

Only for new nonprovisional applications under 37 C.F.R. 1.53(b)

## APPLICATION ELEMENTS

MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 26]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ]
5. Oath or Declaration [Total Pages 3]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement of Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449  
Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: 09 / 255331

Prior application information: Examiner V. Kim

Group / Art Unit: 1614

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

\*27572\*

or ☐ Correspondence address below

27572

(Insert Customer No. or Attach bar code label here)

Name Harness, Dickey &amp; Pierce, P.L.C.

Address P.O. Box 828

City Bloomfield Hills

State MI

Zip Code 48303

Country United States of America

Telephone

248-641-1600

Fax

248-641-0270

Name (Print/Type)

BARBARA S. GIBBS, Ph.D.

Registration No. (Attorney/Agent)

44,708

Signature

Barbara Gibbs

Date

June 27, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any  
comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark  
Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for  
Patents, Box Patent Application, Washington, DC 20231.The PTO did not receive the following  
listed item(s): No postcard

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2> <p style="margin: 5px 0 0 20px;"><i>Patent fees are subject to annual revision.</i></p>		<p><b>Complete if Known</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td>09/255,331</td> </tr> <tr> <td>Filing Date</td> <td>February 22, 1999</td> </tr> <tr> <td>First Named Inventor</td> <td>Keith A. Crutcher</td> </tr> <tr> <td>Examiner Name</td> <td>V. Kim</td> </tr> <tr> <td>Group / Art Unit</td> <td>1614</td> </tr> <tr> <td>Attorney Docket No.</td> <td>8740-000001 <b>PC COE</b></td> </tr> </table>		Application Number	09/255,331	Filing Date	February 22, 1999	First Named Inventor	Keith A. Crutcher	Examiner Name	V. Kim	Group / Art Unit	1614	Attorney Docket No.	8740-000001 <b>PC COE</b>
Application Number	09/255,331														
Filing Date	February 22, 1999														
First Named Inventor	Keith A. Crutcher														
Examiner Name	V. Kim														
Group / Art Unit	1614														
Attorney Docket No.	8740-000001 <b>PC COE</b>														
TOTAL AMOUNT OF PAYMENT	(\$)	574													

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																																																	
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: <span style="border: 1px solid black; padding: 2px;">08-0750</span></p> <p>Deposit Account Name: <span style="border: 1px solid black; padding: 2px;">Harness, Dickey &amp; Pierce, P.L.C.</span></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input type="checkbox"/> Payment Enclosed:</p> <p style="margin-left: 20px;"> <input type="checkbox"/> Check                <input type="checkbox"/> Credit card                <input type="checkbox"/> Money Order                <input type="checkbox"/> Other         </p>	<p><b>3. ADDITIONAL FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td></td></tr> <tr><td>123</td><td>130</td><td>123</td><td>130</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td></td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td></td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td></td></tr> </tbody> </table> <p>Other fee (specify) _____</p> <p>*Reduced by Basic Filing Fee Paid      SUBTOTAL (3) (\$)</p>	Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65		127	50	227	25		139	130	139	130		147	2,520	147	2,520		112	920*	112	920*		113	1,840*	113	1,840*		115	110	215	55		116	390	216	195		117	890	217	445		118	1,390	218	695		128	1,890	228	945		119	310	219	155		120	310	220	155		121	270	221	135		138	1,510	138	1,510		140	110	240	55		141	1,240	241	620		142	1,240	242	620		143	440	243	220		144	600	244	300		122	130	122	130		123	130	123	130		126	180	126	180		581	40	581	40		146	710	246	355		149	710	249	355		179	710	279	355		169	900	169	900	
Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																														
105	130	205	65																																																																																																																																															
127	50	227	25																																																																																																																																															
139	130	139	130																																																																																																																																															
147	2,520	147	2,520																																																																																																																																															
112	920*	112	920*																																																																																																																																															
113	1,840*	113	1,840*																																																																																																																																															
115	110	215	55																																																																																																																																															
116	390	216	195																																																																																																																																															
117	890	217	445																																																																																																																																															
118	1,390	218	695																																																																																																																																															
128	1,890	228	945																																																																																																																																															
119	310	219	155																																																																																																																																															
120	310	220	155																																																																																																																																															
121	270	221	135																																																																																																																																															
138	1,510	138	1,510																																																																																																																																															
140	110	240	55																																																																																																																																															
141	1,240	241	620																																																																																																																																															
142	1,240	242	620																																																																																																																																															
143	440	243	220																																																																																																																																															
144	600	244	300																																																																																																																																															
122	130	122	130																																																																																																																																															
123	130	123	130																																																																																																																																															
126	180	126	180																																																																																																																																															
581	40	581	40																																																																																																																																															
146	710	246	355																																																																																																																																															
149	710	249	355																																																																																																																																															
179	710	279	355																																																																																																																																															
169	900	169	900																																																																																																																																															
<p><b>FEE CALCULATION</b></p> <p>1. BASIC FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>710</td><td>201</td><td>355</td><td>Utility filing fee</td><td>355</td></tr> <tr><td>106</td><td>320</td><td>206</td><td>160</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>490</td><td>207</td><td>245</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>710</td><td>208</td><td>355</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr> <tr><td colspan="5" style="text-align: right;"><b>SUBTOTAL (1)</b></td><td><b>(\$)</b> 355</td></tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Total Claims</td> <td>31</td> <td>-20</td> <td>=</td> <td>11</td> <td>X</td> <td>Fee from below</td> <td>9</td> <td>=</td> <td>99</td> </tr> <tr> <td>Independent Claims</td> <td>6</td> <td>-3</td> <td>=</td> <td>3</td> <td>X</td> <td>40</td> <td></td> <td>=</td> <td>120</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> <td></td> <td>X</td> <td></td> <td></td> <td>=</td> <td>0</td> </tr> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim, if not paid</td><td></td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40</td><td>** Reissue independent claims over original patent</td><td></td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr><td colspan="5" style="text-align: right;"><b>SUBTOTAL (2)</b></td><td><b>(\$)</b> 219</td></tr> </tbody> </table> <p>**or number previously paid, if greater; For Reissues, see above</p>	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	710	201	355	Utility filing fee	355	106	320	206	160	Design filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee		<b>SUBTOTAL (1)</b>					<b>(\$)</b> 355	Total Claims	31	-20	=	11	X	Fee from below	9	=	99	Independent Claims	6	-3	=	3	X	40		=	120	Multiple Dependent					X			=	0	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	80	202	40	Independent claims in excess of 3		104	270	204	135	Multiple dependent claim, if not paid		109	80	209	40	** Reissue independent claims over original patent		110	18	210	9	** Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>					<b>(\$)</b> 219																																
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																													
101	710	201	355	Utility filing fee	355																																																																																																																																													
106	320	206	160	Design filing fee																																																																																																																																														
107	490	207	245	Plant filing fee																																																																																																																																														
108	710	208	355	Reissue filing fee																																																																																																																																														
114	150	214	75	Provisional filing fee																																																																																																																																														
<b>SUBTOTAL (1)</b>					<b>(\$)</b> 355																																																																																																																																													
Total Claims	31	-20	=	11	X	Fee from below	9	=	99																																																																																																																																									
Independent Claims	6	-3	=	3	X	40		=	120																																																																																																																																									
Multiple Dependent					X			=	0																																																																																																																																									
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																													
103	18	203	9	Claims in excess of 20																																																																																																																																														
102	80	202	40	Independent claims in excess of 3																																																																																																																																														
104	270	204	135	Multiple dependent claim, if not paid																																																																																																																																														
109	80	209	40	** Reissue independent claims over original patent																																																																																																																																														
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																														
<b>SUBTOTAL (2)</b>					<b>(\$)</b> 219																																																																																																																																													

SUBMITTED BY			Complete (if applicable)	
Name (Print/Type)	Barbara S. Gibbs	Registration No. Attorney/Agent)	44,708	Telephone
Signature				Date
				April 20, 2001 <b>6/27/01</b>

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**HARNES, DICKEY & PIERCE, P.L.C.**

ATTORNEYS AND COUNSELORS  
P.O. BOX 828  
BLOOMFIELD HILLS, MICHIGAN 48303  
U.S.A.



TELEPHONE  
(248) 641-1600

TELEFACSIMILE  
(248) 641-0270

June 27, 2001

Hon. Commissioner of Patents  
and Trademarks  
Box PATENT APPLICATION  
Washington, D.C. 20231

Sir:

**EXPRESS MAILING CERTIFICATE**

Applicant: Keith A. Crutcher and Judith A.K. Harmony

Serial No. (if any): 09/255,331

For: Methods For The Treatment Of Apolipoprotein E Related Diseases

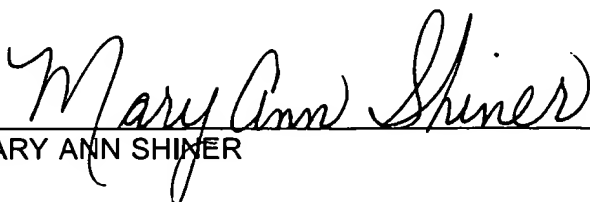
Docket: 874000001COE

Attorney: Barbara S. Gibbs

"Express Mail" Mailing Label Number ..... EL623521774US

Date of Deposit ..... JUNE 27, 2001

I hereby certify and verify that the accompanying **return postcard, Utility Patent Application Transmittal (in duplicate), Fee Transmittal (in duplicate), Patent Application (26 pages), copy of executed Declaration and Power of Attorney and copy of executed Assignment and Cover Sheet, and Preliminary Amendment** are being deposited with the United States Postal Service "Express Mail Post Office To Addressee" service under 37 C.F.R. 1.10 on the date indicated above and are addressed to the Commissioner of Patents and Trademarks, Box Patent Application, Washington, D.C. 20231.

  
MARY ANN SHINER

09892308-062701